U.S. Department of Commerce, Patent and Trademark Office		Docket No.	Serial No.
(PTO Form 1449 modified)		SRI/3928-9	10/805,729
INFORMATION DISCLOSURE STATEMENT BY APPLICANT		Applicant Porras, P.	Confirmation No.: 9573
(Use several sheets if necessary)		Filing Date	Group
	Examiner	March 22, 2004	2184

OIPE JC16 OCT 25 2004 PATENT & TRADEMARK OFFICE

PART A

U.S. Patent Documents

*Examiner Initial		Document Number	Issue Date	Applicant(s) Name	Class	Subclass	Filing Date If Appropriate
/BH/	A1	2002/0032717	03/14/2002	Malan et al.	709	105	05/15/2001
	A2	2002/0032793	03/14/2002	Malan et al.	709	232	05/15/2001
	A3	2002/0032880	03/14/2002	Poletto et al.	714	4	08/16/2001
	A4	2002/0035698	03/21/2002	Malan et al.	713	201	05/15/2001
	A5	2002/0138753	09/26/2002	Munson	713	200	03/15/2002
	A6	2002/0144156	10/03/2002	Copeland, III	713	201	01/31/2002
	A7	2003/0037136	02/20/2003	Labovitz et al.	709	224	06/27/2002
	A8	4,672,609	06/1987	Humphrey et al	371	21	
	A9	4,773,028	09/1988	Tallman	364	550	
	A10	5,210,704	05/1993	Husseiny	364	551.01	
	A11	5,440,723	08/08/1995	Arnold et al.	395	181	
	A12	5,539,659	07/1996	McKee, et al.	709	224	
	A13	5,557,742	09/1996	Smaha et al.	395	186	
	A14	5,706,210	01/1998	Kumano et al	709	224	
	A15	5,748,098	05/05/1998	Grace	340	825.16	
	A16	5,790,799	08/1998	Mogul	709	224	
	A17	5,878,420	03/02/1999	De la Salle	707	10	
	A18	5,919,258	07/06/1999	Kayashima et al.	713	201	
	A19	5,922,051	07/1999	Sidey	709	223	
	A20	5,940,591	08/17/1999	Boyle, et al.	395	187.01	
	A21	5,974,237	10/1999	Shurmer et al.	709	224	
	A22	5,974,457	10/1999	Waclawshy et al	709	224	
	A23	5,991,881	11/1999	Conklin et al	713	201	
	A24	6,009,467	12/1999	Ratcliff et al.	709	224	
	A25	6,052,709	04/18/2000	Paul	709	202	
	A26	6,070,244	05/30/2000	Orchier et al.	713	201	
/BH/	A27	6,144,961	11/07/2000	De la Salle	707	10	

U.S. Department of Commerce, Patent and Trademark Office		Docket No.	Serial No.
(PTO Form 1449 modified)		SRI/3928-9	10/805,729
INFORMATION DISCLOSURE STATEMENT BY APPLICANT		Applicant Porras, P.	Confirmation No.: 9573
(Use several sheets if necessary)		Filing Date	Group
	Examiner	March 22, 2004	2184

/BH/	A28	6,396,845	05/2002	Sugita	709	224 X	
/BH/	A29	6,453,346 B1	09/17/2002	Garg et al.	709	224	
/BH/	A30	6,460,141	10/01/2002	Olden	712	201	
/BH/	A31	6,519,703	02/11/2003	Joyce	713	201	

Foreign Patent Documents

*Examiner Initial		Document Number	Date	Country	Class	Subclass	Translation	
							YES	NO
/BH/	B1	99/13427	03/18/1999	WIPO	G06K	7/00	☐	☐
/BH/	B2	99/57626	11/11/1999	WIPO	G06F	1/16	☐	☐
/BH/	B3	00/10278	02/24/2000	WIPO	H04L		☐	☐
/BH/	B4	00/25214	05/04/2000	WIPO	G06F	12/14	☐	☐
/BH/	B5	00/25527	05/04/2000	WIPO	H04Q	3/00	☐	☐
/BH/	B6	00/34867	06/15/2000	WIPO	G06F	11/30	☐	☐
/BH/	B7	02/101516	12/19/2002	WIPO	G06F		☐	☐

OTHER ART

Examiner Initials		Including Author, Title, Date, Pertinent Pages, Etc.
/BH/	C1	"Networkers, Intrusion Detection and Scanning with Active Audit," Session 1305, ©1998Cisco Systems, http://www.cisco.com/networkers/nw99_pres/1305.pdf, 0893-04F9_c3.scr, printed June 10, 2003
/BH/	C2	Boyen, et al., "Tractable Inference for Complex Stochastic Processes," Proceedings of the 14th Annual Conference on Uncertainty in Artificial Intelligence (UAI-98), pg 33-42, Madison, WI, July 24-26, 1998
/BH/	C3	Cisco Secure Intrusion Detection System 2.1.1 Release Notes, Table of Contents, Release Notes for NetRanger 2.1.1, © 1992-2002, Cisco Systems, Inc., , allegedly posted September 28, 2002, 29 pages, http://www.cisco.com/univercd/cc/td/doc/product/iaabu/csids/csids3/nr11new.htm, printed June 10, 2003
/BH/	C4	Cisco Secure Intrusion Detection System, Release 2.1.1, NetRanger User's Guide, Version 2.1.1, © 1998, Cisco Systems, Inc., allegedly released on April 1998, http://www.cisco.com/univercd/cc/td/doc/product/iaabu/csids/csids3/index.htm, printed June 10, 2003, 334 pages, (See CSI document listed at C7 below)
/BH/	C5	Copeland, J., "Observing Network Traffic - Techniques to Sort Out the Good, the Bad, and the Ugly," http://www.csc.gatech.edu/~copeland/8843/slides/Analyst-011027.ppt, allegedly 2001
/BH/	C6	Debar et al., "A Neural Network Component for an Intrusion Detection System," © 1992 IEEE

U.S. Department of Commerce, Patent and Trademark Office	Docket No.	Serial No.
(PTO Form 1449 modified)	SRI/3928-9	10/805,729
INFORMATION DISCLOSURE STATEMENT BY APPLICANT	Applicant Porras, P.	Confirmation No.: 9573
(Use several sheets if necessary)	Filing Date	Group
Examiner	March 22, 2004	2184

/BH/	C7	Debar, et al., "Towards a Taxonomy of Intrusion-Detection Systems," Computer Networks 31 (1999), 805-822
	C8	Denning et al, "Prototype IDES: A Real-Time Intrusion-Detection Expert System," SRI Project ECU 7508, SRI International, Menlo Park, California, Aug. 1987
	C9	Denning et al., "Requirements and Model for IDES – A Real-Time Intrusion-Detection Expert System," SRI Project 6169, SRI International, Menlo Park, CA, August 1985
	C10	Denning, "An Intrusion-Detection Model," SRI International, Menlo Park, CA Technical Report CSL-149, Nov. 1985
	C11	Dowell, "The Computerwatch Data Reduction Tool," AT&T Bell Laboratories, Whippany, New Jersey.
	C12	Farshchi, J., "Intrusion Detection FAQ, Statistical based approach to Intrusion Detection," http://www.sans.org/resources/idfaq/statistic_ids.php, date unknown, printed 7/10/2003
	C13	Fox, et al., "A Neural Network Approach Towards Intrusion Detection," Harris Corporation, Government Information Systems Division, Melbourne, FL, Jul. 2, 1990.
	C14	Garvey, et al., "An Inference Technique for Integrating Knowledge from Disparate Sources," Proc. IJCAI, Vancouver, BC, Aug. 1981, 319-325
	C15	Garvey, et al., "Model-Based Intrusion Detection," Proceedings of the 14th national Computer Security Conference, Washington, DC, Oct. 1991
	C16	Goan, T., "A Cop on The Beat, Collecting and Appraising Intrusion Evidence," Communication of the ACM, 42(7), July 1999, 46-52
	C17	Hartley, B., "Intrusion Detection Systems: What You Need to Know," Business Security Advisor Magazine, Doc # 05257, allegedly dated September 1998, http://advisor.com/doc/05257, 7 pages, printed June 10, 2003
	C18	Heberlein, et al., "A Network Security Monitor," Proceedings of the IEEE Symposium on Security and Privacy, May 07-09 1990, Oakland, CA, pp 296-304, IEEE Press.
	C19	Hurwicz, M., "Cracker Tracking: Tighter Security with Intrusion Detection," BYTE.com, allegedly dated May 1998, http://www.byte.com/art/9805/sec20/art1.htm, 8 pages, printed June 10, 2003
	C20	Ilgun et al., State Transition Analysis: A Rule-Based Intrusion Detection Approach, IEEE Transactions on Software Engineering, vol., 21, No. 3, Mar. 1995
	C21	Internet Security Systems, "Intrusion Detection for the Millennium," ISS Technology Brief, Date Unknown, Pg 1-6
	C22	Jackson, et al., "An Expert System Application For Network Intrusion Detection," Proceedings of the 14th National Computer Security Conference, Washington, DC, 1-4 October 1991.
/BH/	C23	Jarvis et al., The NIDES Statistical Component Description and Justification, SRI International Annual Report A010, Mar. 7, 1994.

U.S. Department of Commerce, Patent and Trademark Office	Docket No.	Serial No.
(PTO Form 1449 modified)	SRI/3928-9	10/805,729
INFORMATION DISCLOSURE STATEMENT BY APPLICANT	Applicant Porras, P.	Confirmation No.: 9573
(Use several sheets if necessary)	Filing Date	Group
Examiner	March 22, 2004	2184

/BH/	C24	Javitz et al., "The SRI IDES Statistical Anomaly Detector," Proceedings, 1991 IEEE Symposium on Security and Privacy, Oakland, California, May 1991.
	C25	Kaven, "The Digital Dorman," PC Magazine, Nov. 16, 1999.
	C26	Lankewicz, et al., "Real-time Anomaly Detection Using a Nonparametric Pattern Recognition Approach", Proceedings of the 7th Annual Computer Security Applications Conference, San Antonio, Texas, 1991, IEEE Press.
	C27	Liepins, et al., "Anomaly Detection; Purpose and Framework," US DOE Office of Safeguards and Security.
	C28	Lindquist, et al., "Detecting Computer and Network Misuse Through the Production-Based Expert System Toolset (P-BEST)," Oct. 25, 1998
	C29	Lippmann, et al., "Evaluating Intrusion Detection Systems: The 1998 DARPA Off-line Intrusion Detection Evaluation," Proceedings of the 2000 DARPA, Information Survivability Conference and Exposition, January 25-27 2000, Hilton Head, SC, Volume 2, pp 1012-1035, IEEE Press.
	C30	Lunt et al., "A Prototype Real-Time Intrusion-Detection Expert System," Proceedings of the 1988 IEEE Symposium on Security and Privacy, Apr. 1988.
	C31	Lunt et al., "An Expert System to Classify and Sanitize Text," SRI International, Computer Science Laboratory, Menlo Park, CA
	C32	Lunt et al., "Knowledge-Based Intrusion Detection Expert System, "Proceedings of the 1988 IEEE Symposium on Security and Privacy, Apr. 1988.
	C33	Lunt, "A Survey of Intrusion Detection Techniques," Computers & Security, 12 (1993) 405-418
	C34	Lunt, "Automated Audit Trail Analysis and Intrusion Detection: A Survey," Proceedings of the 11th National Computer Security Conference, Baltimore, MD, October 1988.
	C35	Miller, L., "A Network Under Attack, Leverage Your Existing Instrumentation to Recognize and Respond to Hacker Attacks," http://www.netscout.com/files/Intrusion_020118.pdf, Date Unknown, pg 1-8
	C36	Munson, et al., "Watcher: The Missing Piece of the Security Puzzle," Proceedings of the 17th Annual Computer Security Applications Conference (ACSAC'01), December 10-14 2001, New Orleans, LA, pp 230-239, IEEE Press.
	C37	NetScreen, Products FAQ, http://www.netscreen.com/products/faq.html, Date Unknown
	C38	Paller, A., "About the SHADOW Intrusion Detection System" Linux Weekly News, allegedly dated September 1998, http://lwn.net/1998/0910/shadow.html, 38 pages, printed June 10, 2003
	C39	Pearl, J., "Probabilistic Reasoning in Intelligent Systems: Networks of Plausible Inference," Morgan Kaufmann Publishers, September 1988
/BH/	C40	Porras et al, "EMERALD: Event Monitoring Enabling Responses to Anomalous Live Disturbances," 20th NISSC – October 9, 1997.

U.S. Department of Commerce, Patent and Trademark Office	Docket No.	Serial No.
(PTO Form 1449 modified)	SRI/3928-9	10/805,729
INFORMATION DISCLOSURE STATEMENT BY APPLICANT	Applicant Porras, P.	Confirmation No.: 9573
(Use several sheets if necessary)	Filing Date	Group
Examiner	March 22, 2004	2184

/BH/	C41	Porras et al., Penetration State Transition Analysis A Rule-Based Intrusion Detection Approach, © 1992 IEEE.
	C42	Porras, et al., "Live Traffic Analysis of TCP/IP Gateways," Proc. 1998 ISOC Symp. On Network and Distributed Systems Security, December 12, 1997, 1-13
	C43	R. Power, et al., "CSI Intrusion Detection System Resource", allegedly dated July 1998, http://216.239.57.100/search?q=cache:gvTCojxD6nMJ:www.gocsi.com/ques.htm+site:www.gocsi.com+ques&hl=en&ie=UTF-8, printed June 16, 2003.
	C44	Sebring et al., Expert Systems in Intrusion Detection: A Case Study.
	C45	Shieh et al., A Pattern-Oriented Intrusion-Detection Model and Its Application © 1991 IEEE
	C46	Skinner, "EMERALD TCP Statistical Analyzer 1998 Evaluation Results," http://www.sdl.sri.com/emerald/98-eval-estat/index.html, Allegedly dated July 9, 1999
	C47	Smaha, "Haystack: An Intrusion Detection System: © 1988 IEEE Computer Society Press: Proceedings of the Fourth Aerospace Computer Security Application Conference, 1988, pp. 37-44.
	C48	Snapp et al., "DIDS (Distributed Intrusion Detection System) – Motivation, Architecture and An Early Prototype," Computer Security Laboratory, Division of Computer Science, Unic. Of California, Davis, Davis, CA.
	C49	Snapp, "Signature Analysis and Communication Issues in a Distributed Intrusion Detection System,: Thesis 1991.
	C50	SRI/Stanford, "Adaptive Model-Based Monitoring and Threat Detection," Information Assurance BAA 98-34,
	C51	Staniford-Chen, et al., "GrIDS- A Graph Based Intrusion Detection System for Large Networks," Proceedings of the 19th National Information Systems Security Conference, Volume 1, pp 361-370, October 1996.
	C52	Tener, "Discovery: An Expert System in the Commercial Data Security Environment", Fourth IFIP Symposium on Information Systems Security, Monte Carlo, December 1986.
	C53	Tener, "AI & 4GL: Automated Detection and Investigation Tools, " Computer Security in the Age of Information, Proceedings of the Fifth IFIP International Conference on Computer Security, W.J. Caelli (ed.)
	C54	Teng et al., "Adaptive Real-Time Anomaly Detection Using Inductively Generated Sequential Patterns, " © 1990
	C55	Vaccaro et al., "Detection of Anomalous Computer Session Activity," © 1989 IEEE
	C56	Valdes, A., "Blue Sensors, Sensor Correlation, and Alert Fusion, http://www.raid-symposium.org/raid2000/Materials/Abstracts/41/avaldes_raidB.pdf, October 4, 2000
/BH/	C57	Valdes, et al., "Adaptive, Model-based Monitoring for Cyber Attack Detection," Proceedings of Recent Advances in Intrusion Detection 2000 (RAID 2000), H. Debar, L. Me, F. Wu (Eds), Toulouse, France, Springer-Verlag LNCS Volume 1907, pp 80-92, October 2000.

U.S. Department of Commerce, Patent and Trademark Office	Docket No.	Serial No.
(PTO Form 1449 modified)	SRI/3928-9	10/805,729
INFORMATION DISCLOSURE STATEMENT BY APPLICANT	Applicant Porras, P.	Confirmation No.: 9573
(Use several sheets if necessary)	Filing Date	Group
Examiner	March 22, 2004	2184

/BH/	C58	Valdes, et al., "Statistical Methods for Computer Usage Anomaly Detection Using NIDES (Next-Generation Intrusion Detection Expert System)," 3rd International Workshop on Rough Sets and Soft Computing, San Jose CA 1995, 306-311
/BH/	C59	Weiss, "Analysis of Audit and Protocol Data using Methods from Artificial Intelligence," Siemens AG, Munich, West Germany
/BH/	C60	Wimer, S., "The Core of CylantSecure," White Papers, http://www.cylant.com/products/core.html, Date Unknown, Alleged © 1999-2003 Cylant Inc., pgs 1-4
/BH/	C61	Winkler, "A UNIX Prototype for Intrusion and Anomaly Detection in Secure Networks," © Planning Research Corp. 1990
/BH/	C62	Zhang, et al., "A Hierarchical Anomaly Network Intrusion Detection System using Neural Network Classification," Proceedings of the 2001 WSES International Conference on Neural Networks and Applications (NNA'01), Puerto de la Cruz, Canary Islands, Spain, February 11-15 2001.

PART B

U.S. Patent Documents							
*Examiner Initial		Document Number	Issue Date	Applicant(s) Name	Class	Subclass	Filing Date If Appropriate
/BH/	A1	5,440,498	08-08-95	Timm	364	516	
/BH/	A2	5,475,365	12-12-95	Hoseit et al.	340	522	
/BH/	A3	5,517,429	05-14-96	Harrison	364	516	
/BH/	A4	5,568,471	10-22-96	Hershey et al.	370	245	
/BH/	A5	5,704,017	12-30-97	Heckerman et al.	395	61	
/BH/	A6	5,737,319	04-07-98	Croslin et al.	370	255	
/BH/	A7	6,092,194	07-18-00	Touboul	713	200	
/BH/	A8	6,263,441	07-17-01	Cromer et al	713	200	
/BH/	A9	6,279,113	08-21-01	Vaidya, V.	713	201	
/BH/	A10	6,311,274	10-30-01	Day	713	201	
/BH/	A11	6,321,338	11-20-01	Porras et al	713	201	
/BH/	A12	6,353,385	03-05-02	Molini et al.	340	506	
/BH/	A13	6,370,648	04-09-02	Diep, T	713	201	
/BH/	A14	6,408,391	06-18-02	Huff, et al.	713	201	

U.S. Department of Commerce, Patent and Trademark Office	Docket No.	Serial No.
(PTO Form 1449 modified)	SRI/3928-9	10/805,729
INFORMATION DISCLOSURE STATEMENT BY APPLICANT	Applicant Porras, P.	Confirmation No.: 9573
(Use several sheets if necessary)	Filing Date	Group
Examiner	March 22, 2004	2184

/BH/	A15	6,499,107	12-24-02	Gleichauf et al.	713	201	
/BH/	A16	6,502,082	12-31-02	Toyama et al.	706	16	
/BH/	A17	6,701,459	03-02-04	Ramanathan et al.	714	37	
/BH/	A18	6,704,874	03-09-04	Porras et al.	713	201	
/BH/	A19	6,707,795	03-16-04	Noorhosseini et al.	370	242	

Foreign Patent Documents

*Examiner Initial		Document Number	Date	Country	Class	Subclass	Translation	
							YES	NO
	B1						☐	☐
	B2						☐	☐
	B3						☐	☐

OTHER ART

*Examiner Initial		Including Author, Title, Date, Pertinent Pages, Etc.
/BH/	C1	Anderson, D. et al., "Next-generation Intrusion Detection Expert System (NIDES) A Summary," May 1995
/BH/	C2	Anderson, et al., "Next-generation Intrusion Detection Expert System (NIDES) Software Users Manual", December 1994
/BH/	C3	Cheeseman, et al., "Bayesian Classification (AutoClass): Theory and Results," in Advances in Knowledge Discovery and Data Mining, Usama M. Fayyad, Gregory Piatetsky-Shapiro, Padhraic Smyth, & Ramasamy Uthurusamy, Eds. AAAI Press/MIT Press, 1996. pg 61-83
/BH/	C4	Decasper, et al., "Router Plugins A Software Architecture for Next Generation Routers," Proceedings of the ACM SIGCOMM '98 conference on Applications, technologies, architectures, and protocols for computer communication, Vancouver, British Columbia, Canada, Pages: 229 – 240
/BH/	C5	DuMouchel, W., "Computer Intrusion Detection Based on Bayes Factors for Comparing Command Transition Probabilities," NISS, Technical Report Number 91, February 1999
/BH/	C6	Frank, J., "Artificial Intelligence and Intrusion Detection: Current and Future Directions," Division of Computer Science, University of California at Davis, June 1994
/BH/	C7	Hoagland, et al., "Viewing IDS Alerts: Lessons from SnortSnarf," In Proceedings of DISCEX II, June 2001, 374-386
/BH/	C8	Lindquist, et al., "Detecting Computer and Network Misuse Through the Production-Based Expert System Toolset (P-BEST)," in Proceedings of the 1999 Symposium on Security and Privacy, Oakland, CA May 9-12, 1999
/BH/	C9	Makris, J., "Firewall Services: More Bark Than Bite," Data Communications, 28 (3), March 1999, 36-50

U.S. Department of Commerce, Patent and Trademark Office	Docket No.	Serial No.
(PTO Form 1449 modified)	SRI/3928-9	10/805,729
INFORMATION DISCLOSURE STATEMENT BY APPLICANT	Applicant Porras, P.	Confirmation No.: 9573
(Use several sheets if necessary)	Filing Date	Group
Examiner	March 22, 2004	2184

/BH/	C10	Neumann, et al., "Experience with EMERALD to Date," Proceedings of the Workshop on Intrusion Detection and Network Monitoring, 73 – 80, 1999
/BH/	C11	Petersen, K., "IDA- Intrusion Detection Alert," Proc. of the IEEE Annual International Computer Software and Applications Conference, Chicago, IL, Sept. 1992, 306 - 311
/BH/	C12	Rowland, C., "Network Attack Trend Analysis," allegedly dated November 22, 1997, Newsgroups: muc.list.bugtraq
/BH/	C13	Ryan, et al., "Intrusion Detection with Neural Networks," Advances in Neural Information Processing Systems 10, Cambridge, MA, MIT Press, 1998
/BH/	C14	Complaint for Declaratory Judgment, Internet Security Systems, Inc., v. SRI International, Inc., US District Court, Northern District of Georgia, Civil Action No. 104 CV 2402, filed August 17, 2004
/BH/	C15	Complaint for Patent Infringement; Demand for Jury, SRI International, Inc. v. Internet Security Systems, Inc, etal., US District Court, District of Delaware, Case No. 04-1199, Filed August 26, 2004
/BH/	C16	The RealSecure 1.2 Manual web.archive.org/web/19970709202745/www.iss.net/eval/manuals.html, alleged dated 9 July 1997
/BH/	C17	"Real-time attack recognition and response: A solution for tightening network security", Internet Security Systems, web.archive.org/web/19970721183811/iss.net/prod/whitepaper.html, allegedly dated July 21, 1997
/BH/	C18	Roesch, M., "SNORT- Lightweight Intrusion Detection for Networks," Proceedings of LISA '99: 13th Systems Administration Conference, November 7-12, 1999, Seattle, WA 229-238
/BH/	C19	Symantec Corporation's Answer and Counterclaims to SRI International, Inc.'s Complaint, SRI International, Inc. v. Internet Security Systems, Inc. etal., US District Court, District of Delaware, Case No. 04-1199, Filed October 15, 2004

Examiner /Brandon Hoffman/	Date Considered 12/17/2007

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with your communication to applicant.

OIPE
APR 27 2006
PATENT & TRADEMARK OFFICE

Please type a plus sign (+) inside this box → [+]

PTO/SB/08a (08-03)
Approved for use through 07/31/2006. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Application Number	10/805,729
Filing Date	3/22/04
First Named Inventor	Porras, et al.
Group Art Unit	2131
Examiner Name	Ayaz R. Sheikh
Attorney Docket Number	SRI/3928-9
Sheet 1 of 15	Submission Date: April 18, 2006

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No.[1]	Document Number: Number-Kind Code[2] (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
/BH/	A1	US - 5,825,750	10-20-1998	Thompson	
	A2				
	A3				
	A4				
	A5				
	A6				
	A7				
	A8				
	A9				
	A10				
	A11				
	A12				
	A13				
	A14				
	A15				
	A16				
	A17				
	A18				

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No.[1]	Foreign Patent Document: Country Code[3]-Number[4]-Kind Code[5] (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T[6]
	B1					
	B2					
	B3					
	B4					
	B5					

Examiner /Brandon Hoffman/ Date Considered 12/17/2007

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. [1] Applicant's unique citation designation number (optional). [2] See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. [3] Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). [4] For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. [5] Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. [6] Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.** *If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.*

Please type a plus sign (+) inside this box [+]

PTO/SB/08b (08-03)
Approved for use through 06/30/2006. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

Substitute for form 1449B/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 2 | 15

Application Number	10/805,729
Filing Date	3/22/04
First Named Inventor	Porras, et al.
Group Art Unit	2131
Examiner Name	Ayaz R. Sheikh
Attorney Docket Number	SRI/3928-9
Submission Date	April 18, 2006

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No.[1]	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T[2]
/BH/	C1	JOINT CLAIM CONSTRUCTION STATEMENT, SRI International, Inc., a California Corporation v. Internet Security Systems, Inc., a Delaware Corporation, Internet Security Systems, Inc., a Georgia Corporation, and Symantec Corporation a Delaware Corporation, (13 pages), Certificate of Service dated March 17, 2006	
/BH/	C2	SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, SRI International, Inc., a California Corporation v. Internet Security Systems, Inc., a Delaware Corporation, Internet Security Systems, Inc., a Georgia Corporation and Symantec Corporation, a Delaware Corporation, pp 1-22, Dated November 15, 2005	
/BH/	C3	EXHIBIT A-1 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, EMERALD: EVENT MONITORING ENABLING RESPONSES TO ANOMALOUS LIVE DISTURBANCES, "EMERALD 1997", EMERALD 1997 INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp. 1-51, November 15, 2005.	
/BH/	C4	EXHIBIT A-2 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, ANALYSIS AND RESPONSE FOR INTRUSION DETECTION IN LARGE NETWORKS- SUMMARY FOR CMAD WORKSHOP, "EMERALD-CMAD", EMERALD – CMAD INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b) AND/OR 103, pp.1-33, November 15, 2005.	
/BH/	C5	EXHIBIT A-3 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, EMERALD: EVENT MONITORING ENABLING RESPONSES TO ANOMALOUS LIVE DISTURBANCES CONCEPTUAL OVERVIEW, "EMERALD-CONCEPTUAL OVERVIEW", EMERALD – CONCEPUTAL OVERVIEW INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b) AND/OR 103, pp.1-34, November 15, 2005.	
/BH/	C6	EXHIBIT A-4 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, CONCEPTUAL DESIGN AND PLANNING FOR EMERALD: EVENT MONITORING ENABLING RESPONSES TO LIVE DISTURBANCES, "EMERALD – CONCEPTUAL DESIGN 1997", EMERALD – CONCEPTUAL DESIGN 1997 INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b) AND/OR 103 pp.1-56, November 15, 2005.	
/BH/	C7	EXHIBIT A-5 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, LIVE TRAFFIC ANALYSIS OF TCP/IP GATEWAYS, "EMERALD – LIVE TRAFFIC ANALYSIS", EMERALD – LIVE TRAFFIC ANALYSIS INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp.1-44, November 15, 2004.	
/BH/	C8	EXHIBIT A-6 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, NEXT GENERATION INTRUSION DETECTION EXPERT SYSTEM (NIDES) A SUMMARY, "NETWORK NIDES", NETWORK NIDES INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp.1-40, November 15, 2005	
/BH/	C9	EXHIBIT A-7 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, SCALABLE INTRUSION DETECTION FOR THE EMERGING NETWORK, "JI-NAO", EACH OF JI-NAO AND JI-NAO SLIDES INVALIDATE THE INDICATED CLAIMS UNDER 5 U.S.C. § 102 (b), pp.1-76, November 15, 2005.	

Examiner /Brandon Hoffman/ Date Considered 12/17/2007

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.** *If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.*

Please type a plus sign (+) inside this box → [+]

PTO/SB/08b (08-03)
Approved for use through 06/30/2006. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

Substitute for form 1449B/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 3 | | 15

Application Number	10/805,729
Filing Date	3/22/04
First Named Inventor	Porras, et al.
Group Art Unit	2131
Examiner Name	Ayaz R. Sheikh
Attorney Docket Number	SRI/3928-9
Submission Date	April 18, 2006

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No.[1]	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T[2]
/BH/	C10	EXHIBIT A-8 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, A NETWORK SECURITY MONITOR, "NSM", NSM INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp. 1-9, November 15, 2005.	
/BH/	C11	EXHIBIT A-9 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, DISTRIBUTED INTRUSION DETECTION SYSTEM, "DIDS FEBRUARY 1991 AND DIDS OCTOBER 1991", EACH OF DIDS FEBRUARY 1991 AND DIDS OCTOBER 1991 INVALIDATE THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp. 1-88, November 15, 2005.	
/BH/	C12	EXHIBIT A-10 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, GRAPH BASED INTRUSION DETECTION SYSTEM FOR LARGE NETWORKS, "GRIDS 1996 AND GRIDS 1997", GRIDS 1996 AND GRIDS 1997 INVALIDATE THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp. 1-39, November 15, 2005.	
/BH/	C13	EXHIBIT A-11 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, WHEELGROUP CORPORATION, "NETRANGER", EACH OF NETRANGER USER GUIDE 1.3.1 INVALIDATE THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp. 1-34, November 15, 2005.	
/BH/	C14	EXHIBIT A-12 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, INTERNET SECURITY SYSTEMS, "REALSECURE", REALSECURE INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp.1-22, November 15, 2005.	
/BH/	C15	EXHIBIT A-13 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, THE ARCHITECTURE OF A NETWORK LEVEL INTRUSION DETECTION SYSTEM, "NETWORK LEVEL INTRUSION DETECTION", NETWORK LEVEL INTRUSION DETECTION INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp. 1-20, November 15, 200.	
/BH/	C16	EXHIBIT A-14 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, U.S. PATENT NO. 5,825,750 (THOMPSON), U.S. PAT. NO. 5,825,750 (THOMPSON) INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (a) AND 102(e), pp.1-13, November 15, 2005.	
/BH/	C17	EXHIBIT A-15 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, FAULT DETECTION IN AN ETHERNET NETWORK VIA ANOMALY DETECTORS, FAULT DETECTION IN AN ETHERNET NETWORK VIA ANOMALY DETECTORS INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp.1-9, November 15, 2005.	

Examiner /Brandon Hoffman/ Date Considered 12/17/2007

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: **Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.** *If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.*

Please type a plus sign (+) inside this box → [+]

PTO/SB/08b (08-03)
Approved for use through 06/30/2006. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

Substitute for form 1449B/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 4 | 15

Application Number	10/805,729
Filing Date	3/22/04
First Named Inventor	Porras, et al.
Group Art Unit	2131
Examiner Name	Ayaz R. Sheikh
Attorney Docket Number	SRI/3928-9
Submission Date	April 18, 2006

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No.[1]	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T[2]
/BH/	C18	EXHIBIT A-16 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, HARRIS CORPORATION, "STAKE OUT NETWORK SURVEILLANCE", STAKE OUT NETWORK SURVEILLANCE INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp.1-12, November 15, 2005.	
/BH/	C19	EXHIBIT A-17 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, HP OPENVIEW FOR WINDOWS USER GUIDE, "HP OPENVIEW", HP OPENVIEW AND THE INTERNET STANDARDS INVALIDATE THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b) AND/OR 103, pp.1-29, November 15, 2005.	
/BH/	C20	EXHIBIT A-18 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, INTERNETWORK SECURITY MONITOR, "ISM", ISM AND DIDS INVALIDATE THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b) OR 103, pp. 1-80, November 15, 2005.	
/BH/	C21	EXHIBIT A-19 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, EMERALD 1997, INTRUSIVE ACTIVITY 1991, NIDES 1994, EMERALD 1997, INTRUSIVE ACTIVITY 1991, AND NIDES 1994 INVALIDATE THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b) AND/OR 103, pp. 1-53, November 15, 2005.	
/BH/	C22	EXHIBIT A-20 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, NETSTALKER AND HP OPENVIEW, NETSTALKER AND HP OPENVIEW INVALIDATE THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b) AND/OR 103, pp.1-32, November 15, 2005.	
/BH/	C23	EXHIBIT A-21 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11,NETWORK FLIGHT RECORDER, NETWORK FLIGHT RECORDER INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b) AND/OR 103, pp. 1-53, November 15, 2005.	
/BH/	C24	EXHIBIT A-22 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, AUTOMATED INFORMATION SYSTEM "AIS", AIS INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp. 1-21, November 15, 2005.	
/BH/	C25	EXHIBIT A-23 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, COMPARISON OF LISTED PUBLICATIONS TO CLAIMS –AT-ISSUE OF SRI'S PATENT-IN-SUIT FOR 35 U.S.C. § 103, pp. 1-57, November 15, 2005.	

Examiner /Brandon Hoffman/ Date Considered 12/17/2007

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: **Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.** *If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.*

Please type a plus sign (+) inside this box → [+]

PTO/SB/08b (08-03)
Approved for use through 08/30/2006. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

Substitute for form 1449B/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 5 | | 15

Application Number	10/805,729
Filing Date	3/22/04
First Named Inventor	Porras, et al.
Group Art Unit	2131
Examiner Name	Ayaz R. Sheikh
Attorney Docket Number	SRI/3928-9
Submission Date	April 18, 2006

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No.[1]	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T[2]
/BH/	C26	SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, SRI International, Inc., a California Corporation v. Internet Security Systems Inc., a Delaware Corporation, Internet Security Systems, Inc., a Georgia Corporation, and Symantec Corporation, a Delaware Corporation, pp.1-22, Certificate of Service dated November 15, 2005	
/BH/	C27	EXHIBIT 1 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, EMERALD 1997 INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp.1-60, November 15, 2005.	
/BH/	C28	EXHIBIT 2 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, CMAD INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b) AND/OR 103,pp 1-27, November 15, 2005.	
/BH/	C29	EXHIBIT 3 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, EMERALD CONCEPTUAL OVERVIEW INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C.§ 102 (b) AND/OR 103, pp. 1-35, November 15, 2005.	
/BH/	C30	EXHIBIT 4 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, CONCEPTUAL DESIGN AND PLANNING FOR EMERALD: EVENT MONITORING ENABLING RESPONSES TO ANOMALOUS LIVE DISTURBANCES VERSION 1.2, 20 May 1997INVALIDATE THE INDICATED CLAIMS UNDER 35 U.S.C.§ 102 (b) AND/OR 103, pp. 1-58, November 15, 2005.	
/BH/	C31	EXHIBIT 5 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, LIVE TRAFFIC ANALYSIS INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C.§ 102 (b), PP. 1-52, November 15, 2005.	
/BH/	C32	EXHIBIT 6 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, NEXT-GENERATION INTRUSION DETECTION EXPERT SYSTEM (NIDES): A SUMMARY INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C.§ 102 (b), pp. 1-47, November 15, 2005	
/BH/	C33	EXHIBIT 7 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, JI-NAO INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C.§ 102 (b), pp.1-100, November 15, 2005	

Examiner /Brandon Hoffman/ Date Considered 12/17/2007

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: **Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.** *If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.*

Please type a plus sign (+) inside this box → [+]

PTO/SB/08b (08-03)
Approved for use through 06/30/2006. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

Substitute for form 1449B/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 6 | | 15

Application Number	10/805,729
Filing Date	3/22/04
First Named Inventor	Porras, et al.
Group Art Unit	2131
Examiner Name	Ayaz R. Sheikh
Attorney Docket Number	SRI/3928-9
Submission Date	April 18, 2006

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No.[1]	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T[2]
/BH/	C34	EXHIBIT 8 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, NSM INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C.§ 102 (b), pp.1-17, November 15, 2005.	
/BH/	C35	EXHIBIT 9 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, DIDS INVALIDATES THE INDICATED CLIAMS UNDER 35 U.S.C.§ 102 (b), pp.1-114, November 15, 2005.	
/BH/	C36	EXHIBIT 10 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, ISM AND DIDS INVALIDATE THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b) OR 103. pp.1-91, November 15, 2005.	
/BH/	C37	EXHIBIT 11 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, GrIDS INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C.§ 102 (b), pp.1-41, November 15, 2005	
/BH/	C38	EXHIBIT 12 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, NETRANGER INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C.§ 102 (b), pp,1-32, November 15, 2005.	
/BH/	C39	EXHIBIT 13 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, REALSECURE INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C.§ 102 (b), pp. 1-21, November 15, 2005.	
/BH/	C40	EXHIBIT 14 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, THE NETWORK FLIGHT RECORDER SYSTEM INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b) AND/OR 103, pp.1-73, November 15, 2005.	
/BH/	C41	EXHIBIT 15 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, NETSTALKER AND HP OPENVIEW INVALIDATE THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b) AND/OR 103, pp.1-21, November 15, 2005.	

Examiner /Brandon Hoffman/ Date Considered 12/17/2007

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.** *If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.*

Please type a plus sign (+) inside this box → [+]

PTO/SB/08b (08-03)
Approved for use through 06/30/2006. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

Substitute for form 1449B/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 7 of 15

Application Number	10/805,729
Filing Date	3/22/04
First Named Inventor	Porras, et al.
Group Art Unit	2131
Examiner Name	Ayaz R. Sheikh
Attorney Docket Number	SRI/3928-9
Submission Date	April 18, 2006

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No.[1]	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T[2]
/BH/	C42	EXHIBIT 16 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, HP OPENVIEW AND THE INTERNET STANDARDS INVALIDATE THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b) AND/OR 103, pp.1-26, November 15, 2005.	
/BH/	C43	EXHIBIT 17 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11," NETWORK LEVEL INTRUSION DETECTION SYSTEM" (AUGUST 1990) INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp.1-22, November 15, 2005.	
/BH/	C44	EXHIBIT 18 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, US PATENT NUMBER 5,825,750 (THOMPSON) INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (a) and 102 (e), pp.1-21, November 15, 2005.	
/BH/	C45	EXHIBIT 19 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11," FAULT DETECTION IN AN ETHERNET NETWORK VIA ANOMALY DETECTORS" INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp. 1-17, November 15, 2005.	
/BH/	C46	EXHIBIT 20 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, STAKE OUT NETWORK SURVEILLANCE INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp.1-24, November 15, 2005.	
/BH/	C47	EXHIBIT 21 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, EMERALD 1997, INTRUSIVE ACTIVITY 1991, AND NIDES 1994 INVALIDATE THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b) OR 103,pp. 1-62, November 15, 2005.	
/BH/	C48	EXHIBIT 22 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, AUTOMATED INFORMATION SYSTEM – AIS INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp. 1-15, November 15, 2005.	
/BH/	C49	EXHIBIT 23 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, COMPARISON OF LISTED PUBLICATIONS TO CLAIMS-AT-ISSUE OF SRI'S PATENTS-IN-SUIT FOR 35 U.S.C. § 103, pp. 1-127, November 15, 2005.	
/BH/	C50	SECOND SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NO. 11,SRI International, Inc., a California Corporation v. Internet Security Systems, Inc., a Delaware Corporation, Internet Security Systems, Inc., a Georgia Corporation and Symantec Corporation a Delaware Corporation, pp.1-17, Certificate of Service dated March 28, 2006.	
/BH/	C51	SYMANTEC CORPORATION'S FIFTH SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORY NO. 11, SRI International, Inc., a California Corporation v. Internet Security Systems, Inc., a Delaware Corporation, Internet Security Systems, Inc., a Georgia Corporation and Symantec Corporation a Delaware Corporation, pp. 1-15, dated March 28, 2006.	
/BH/	C52	SRI INTERNATIONAL, INC.'S RESPONSES TO DEFENDANTS ISS-GA'S SECOND SET OF INTEROGATORIES (NOS. 19-20) AND SRI'S THIRD SUPPLEMENTAL RESPONSE TO ISS-GA'S INTERROGATORY NO. 17, SRI International, Inc., a California Corporation v. Internet Security Systems, Inc., a Delaware Corporation, Internet Security Systems, Inc., a Georgia Corporation and Symantec Corporation a Delaware Corporation, pp. 1-54, Certificate of Service dated December 15, 2005	

Examiner /Brandon Hoffman/ Date Considered 12/17/2007

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: **Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.** *If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.*

Please type a plus sign (+) inside this box → [+]

PTO/SB/08b (08-03)
Approved for use through 06/30/2006. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

Substitute for form 1449B/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 8 | | 15

Application Number	10/805,729
Filing Date	3/22/04
First Named Inventor	Porras, et al.
Group Art Unit	2131
Examiner Name	Ayaz R. Sheikh
Attorney Docket Number	SRI/3928-9
Submission Date	April 18, 2006

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No.[1]	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T[2]
/BH/	C53	SRI INTERNATIONAL, INC.'S RESPONSE TO SYMANTEC'S INVALIDITY AND INEQUITABLE CONDUCT CONTENTIONS, SRI International, Inc., a California Corporation v. Internet Security Systems, Inc., a Delaware Corporation, Internet Security Systems, Inc., a Georgia Corporation and Symantec Corporation a Delaware Corporation, pp.1-50, Certificate of Service dated December 15, 2005	
/BH/	C54	SRI INTERNATIONAL, INC.'S SUPPLEMENTAL RESPONSE TO INTERROGATORIES NO 12. AND NO. 15, SRI International, Inc., a California Corporation v. Internet Security Systems, Inc. a Delaware Corporation, Internet Security Systems, Inc. a Georgia Corporation and Symantec Corporation a Delaware Corporation, pp. 1-6, Certificate of Service date December 15, 2005	
/BH/	C55	SRI INTERNATIONAL, INC.'S "AMENDED" RESPONSE TO SYMANTEC'S INVALIDITY AND INEQUITABLE CONDUCT CONTENTIONS, SRI International, Inc., a California Corporation v. Internet Security Systems, Inc., a Delaware Corporation, Internet Security Systems, Inc., a Georgia Corporation and Symantec Corporation a Delaware Corporation, pp.1-51, Certificate of Service date December 16, 2005	
/BH/	C56	S.S. CHEN et al, GrIDS – A Graph Based Intrusion Detection System for Large Networks, 19th National Information Security Systems Conference, 1996	
/BH/	C57	L.T. HEBERLEIN, et al., Internetwork Security Monitor, Proc. 15th National Computer Security Conference, October 13-16 1992, pp. 262-271	
/BH/	C58	B. MUKHERJEE et al., Network Intrusion Detection, IEEE Network 8(3), pp. 26-41, May/June 1994	
/BH/	C59	B. GLEICHAUF AND D. TEAL, NetRanger High-level Overview Version 1.1, WheelGroup Corp., November 1996	
/BH/	C60	S.R. SNAPP, et al., A System for Distributed Intrusion Detection, COMPCON Spring'91, Digest of Papers, San Francisco, CA, 25 February – 1 March 1991, pp. 170-176	
/BH/	C61	JAMES BRENTANO et al., An Architecture for a Distributed Intrusion Detection System, Proc. 14th Department of Energy Computer Security Group Conference, May 7-9 1991, pp 17.25-17.45.	
/BH/	C62	L.T. HEBERLEIN et al., Towards Detecting Intrusions in a Networked Environment, Proc. 14th Department of Energy Computer Security Group Conference, pp. 17.47-17.65, May 7-9 1991	

Examiner /Brandon Hoffman/ Date Considered 12/17/2007

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: **Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.** *If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.*

Please type a plus sign (+) inside this box → [+]

PTO/SB/08b (08-03)
Approved for use through 06/30/2006. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

Substitute for form 1449B/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 9 | 15

Application Number	10/805,729
Filing Date	3/22/04
First Named Inventor	Porras, et al.
Group Art Unit	2131
Examiner Name	Ayaz R. Sheikh
Attorney Docket Number	SRI/3928-9
Submission Date	April 18, 2006

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No.[1]	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T[2]
/BH/	C63	L.T. HEBERLEIN , Towards Detecting Intrusions in a Networked Environment, Technical Report CSE-91-23, Division of Computer Science, UC Davis, June 1991	
/BH/	C64	L.T. HEBERLEIN et al., A Method to Detect Intrusive Activity in a Networked Environment, Proc. 14th National Computer Security Conference, pp. 362-371, October 1991	
/BH/	C65	RANUM et al., Implementing a Generalized Tool for Network Monitoring, Proc. 11th Systems Administration Conference (LISA'97), San Diego, CA, October 1997	
/BH/	C66	STEVEN SNAPP et al., Intrusion Detection Systems (IDS): A Survey of Existing Systems and a Proposed Distributed IDS Architecture, CSE-91-7, allegedly dated February 1991	
/BH/	C67	L.T. HEBERLEIN et al., Network Attacks and an Ethernet-based Network Security Monitor, Proc. 13th Department of Energy Computer Security Group Conference, pp. 14.1-14.13, May 8-10 1990	
/BH/	C68	RealSecure 1.1: User Guide and Reference Manual, 1997	
/BH/	C69	RealSecure 1.2: User Guide and Reference Manual 1997	
/BH/	C70	3Com, HP Openview for Windows User Guide for Transcend Management Software, Version 6.1 for Windows and '97 for Windows NT, October 1997	
/BH/	C71	3Com, HP Openview for Windows Workgroup Node Manager User Guide for Transcend Management Software, Version 6.0 for Windows, January 1997	
/BH/	C72	Y. FRANK JOU et al., Architecture Design of a Scalable Intrusion Detection System For the Emerging Network Infrastructure, Technical Report CDRL A005, DARPA Order E296, Department of Computer Science, North Carolina State University, April 1997	
/BH/	C73	Y. FRANK JOU AND S. FELIX WU, Scalable Intrusion Detection for Emerging Network Infrastructures, IDS Program Review Presentation, SRI, July 1997	

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: **Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.** *If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.*

Please type a plus sign (+) inside this box → [+]

PTO/SB/08b (08-03)
Approved for use through 06/30/2006. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

Substitute for form 1449B/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 10 | 15

Application Number	10/805,729
Filing Date	3/22/04
First Named Inventor	Porras, et al.
Group Art Unit	2131
Examiner Name	Ayaz R. Sheikh
Attorney Docket Number	SRI/3928-9
Submission Date	April 18, 2006

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No.[1]	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T[2]
/BH/	C75	SHYHTSUN F. WU et al., Intrusion Detection for Link-state Routing Protocols, December 2, 1996	
/BH/	C76	DIHENG QU et al., Statistical Anomaly Detection for Link-state Routing Protocols, 6th International Conference on Network Protocol (ICNP '98), pp. 62-70, October 1998	
/BH/	C77	T. LUNT et al., A Real-time Intrusion Detection Expert System (IDES): Final Technical Report, Technical Report, SRI Computer Science Laboratory, Menlo Park, CA, 28 February 1992	
/BH/	C78	T.F. LUNT et al., IDES: A Progress Report, Proc. 6th Annual Computer Security Applications Conference, pp. 273-285, 1990	
/BH/	C79	PC Week, NetRanger Keeps Watch Over Security Leaks, September 1997	
/BH/	C80	Network Systems Corp., Data Privacy Facility Administrator's Guide Version 1.2, September 1995	
/BH/	C81	Haystack Labs, NetStalker, Installation and User's Guide, Version 1.0.2, 1996	
/BH/	C82	WheelGroup Corp., NetRanger User's Guide, 1996	
/BH/	C83	WheelGroup Corp., NetRanger User's Guide 1.2, 1997	
/BH/	C84	P.PORRAS AND P. NEUMANN, EMERALD : Event Monitoring Enabling Responses to Anomalous Live Disturbances Conceptual Overview, December 18, 1996	
/BH/	C85	WheelGroup Corp, WheelGroup Press Release Summary, undated.	
/BH/	C86	WheelGroup Corp., WheelGroup Releases NetRanger 2.0, Press Release, August 25, 1997	

Examiner /Brandon Hoffman/ Date Considered 12/17/2007

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: **Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.** *If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.*

Please type a plus sign (+) inside this box → [+]

PTO/SB/08b (08-03)
Approved for use through 06/30/2006. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

Substitute for form 1449B/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 11 | 15

Application Number	10/805,729
Filing Date	3/22/04
First Named Inventor	Porras, et al.
Group Art Unit	2131
Examiner Name	Ayaz R. Sheikh
Attorney Docket Number	SRI/3928-9
Submission Date	April 18, 2006

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No.[1]	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T[2]
/BH/	C87	WheelGroup Corp., Summary of DoD/SPOCK Evaluation of WheelGroup's NetRanger Intrusion Detection System, Press Release, July 8, 1997	
/BH/	C88	WheelGroup Corporation, NetRanger User Guide Version 1.3.1, 1997	
/BH/	C89	Graph-based Intrusion Detection System (GRIDS) Home Page, webpage allegedly archived July 19, 1997	
/BH/	C90	GrIDS Requirements Document, webpage allegedly archived December 14, 1996	
/BH/	C91	GrIDS Outline Design Document, webpage allegedly archived December 14, 1996	
/BH/	C92	STEVEN CHEUNG et al., The Design of GRIDS: A Graph-based Intrusion Detection System, Technical Report, UC Davis Department of Computer Science, May 14, 1997	
/BH/	C93	STEVEN CHEUNG et al., Graph-based Intrusion Detection System, Presentation at PI Meeting, Savannah, GA, Feb 25-27 1997	
/BH/	C94	WheelGroup Corp., NetRanger User's Guide 1.2.2, 1997	
/BH/	C95	R. POWER et al., Detecting Network Intruders, Network Magazine, pp. 137-38, October 1997	
/BH/	C96	P. NEUMANN, P. PORRAS AND A. VALDES, Analysis and Response for Intrusion Detection in Large Networks, Summary for CMAD Workshop, Monterey, 12-14 November 1996	
/BH/	C97	HP SNMP/XL User's Guide, HP 3000 MPE/iX Computer Systems Edition 5, Hewlett-Packard, April 1994	
/BH/	C98	M. SIEGL et al., Hierarchical Network Management – A Concept and its Prototype in SNMPv2, allegedly dated 1996	
/BH/	C99	RFC 1155, Structure and Identification of Management Information for TCP/IP-based Intranets, May 1990	

Examiner /Brandon Hoffman/ Date Considered 12/17/2007

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.** *If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.*

Please type a plus sign (+) inside this box → [+]

PTO/SB/08b (08-03)
Approved for use through 06/30/2006. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

Substitute for form 1449B/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 12 | 15

Application Number	10/805,729
Filing Date	3/22/04
First Named Inventor	Porras, et al.
Group Art Unit	2131
Examiner Name	Ayaz R. Sheikh
Attorney Docket Number	SRI/3928-9
Submission Date	April 18, 2006

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No.[1]	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T[2]
/BH/	C100	RFC 1157, A Simple Network Management Protocol (SNMP), May 1990	
/BH/	C101	RFC 1213, Management Information Base for Network Management of TCP/IP-based Internets: MIB-II, March 1991	
/BH/	C102	RFC 1441, Introduction to Version 2 of the Internet-standard Network Management Framework, April 1993	
/BH/	C103	RFC 1757, Remote Network Monitoring Management Information Base, February 1995	
/BH/	C104	RFC 1271, Remote Network Monitoring Management Information Base, November 1991	
/BH/	C105	RFC 1451, Manager-to-Manager Management Information Base, April 1993	
/BH/	C106	RICHARD HEADY et al., The Architecture of a Network Level Intrusion Detection System, Technical Report CS90-20, University of New Mexico, Department of Computer Science, August 15, 1990	
/BH/	C107	ISS, RealSecure 1.0: User Guide and Reference Manual, 1996	
/BH/	C108	KARL LEVITT AND CHRISTOPHER WEE (Eds.) Proceedings of Fourth Workshop on Future Directions in Computer Misuse and Anomaly Detection, Monterey, California, November 12-14 1996	
/BH/	C109	Netranger, Installation & Configuration Training, Slide Presentation, April 1997	
/BH/	C110	WheelGroup Corp., Traditional Security Basics, Undated	
/BH/	C111	T.F. LUNT et al., A Real-time Intrusion Detection Expert System (IDES): Interim Progress Report Project 6784, SRI International, May 1990	
/BH/	C112	ISS, RealSecure web page, allegedly dated 1997	

Examiner /Brandon Hoffman/ Date Considered 12/17/2007

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.** *If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.*

Please type a plus sign (+) inside this box → [+]

PTO/SB/08b (08-03)
Approved for use through 06/30/2006. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

Substitute for form 1449B/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 13 | 15

Application Number	10/805,729
Filing Date	3/22/04
First Named Inventor	Porras, et al.
Group Art Unit	2131
Examiner Name	Ayaz R. Sheikh
Attorney Docket Number	SRI/3928-9
Submission Date	April 18, 2006

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No.[1]	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T[2]
/BH/	C113	ISS, Built-in Attack Recognition Capabilities Give Organizations Power to Detect and Respond to Attacks Before It's Too Late, Press release, May 12, 1997	
/BH/	C114	ISS, More About RealSecure: General Description and Comparison to Existing Systems, web page, allegedly available July 21, 1997	
/BH/	C115	ISS, Frequently Asked Questions about RealSecure, web page, allegedly last updated May 30th 1997, and alleged available July 21, 1997	
/BH/	C116	ISS,, Frequently Asked Questions about RealSecure, web page, allegedly last updated October 21st 1997, and alleged available January 20, 1998	
/BH/	C117	ISS, Frequently Asked Questions about RealSecure, web page, alleged available 1998	
/BH/	C118	ISS, Real-time Attack Recognition and Response: A Solution for Tightening Network Security, allegedly available January 20, 1998	
/BH/	C119	ISS, Internet Security Systems Launches RealSecure 1.0 For Windows NT, Press release, May 12, 1997	
/BH/	C120	ISS, Internet Security Systems Augments Network Security with Real-time Attack Recognition and Response Tool, Press release, December 9, 1996	
/BH/	C121	ISS, Internet Security Systems Ships RealSecure For Windows NT, Industry's First Real-time Attack Recognition and Response Tool for Windows NT, Press release, August 19, 1997	
/BH/	C122	ISS, ISS Announces New Version of Leading Real-time Security Attack Recognition and Response Tool, Press release, March 25, 1997	
/BH/	C123	Harris Corporation, Stake Out Network Surveillance, White Paper, 1996	
/BH/	C124	ISS, RealSecure Release Dates Table, Undated.	
/BH/	C125	MARK MILLER, Managing Internetworks with SNMP, 2nd Edition, 1997	
/BH/	C126	NFR, Frequently Asked Questions / Troubleshooting Guide, Undated	

Examiner /Brandon Hoffman/ Date Considered 12/17/2007

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: **Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.** *If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.*

Please type a plus sign (+) inside this box → [+]

PTO/SB/08b (08-03)
Approved for use through 06/30/2006. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

Substitute for form 1449B/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 14 | 15

Application Number	10/805,729
Filing Date	3/22/04
First Named Inventor	Porras, et al.
Group Art Unit	2131
Examiner Name	Ayaz R. Sheikh
Attorney Docket Number	SRI/3928-9
Submission Date	April 18, 2006

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No.[1]	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T[2]
/BH/	C127	NFR Beta Handbook, November 1997	
/BH/	C128	Harris Corporation Web Site allegedly obtained from archive.org,	
/BH/	C129	ROY MAXION et al., A Case Study of Ethernet Anomalies in a Distributed Computing Environment, IEEE Transactions on Reliability, 39(4), pp. 433-443, October 1990.	
/BH/	C130	NetRanger SQL Queries, allegedly dated May 28 1997	
/BH/	C131	FRANK FEATHER et al., Fault Detection in an Ethernet Network Using Anomaly Signature Matching, Computer Communication Review, SIGCOMM'93 Conference Proceedings, pp. 279-288, September 13-17, 1992	
/BH/	C132	NFR Version 2.0 Library, October 5, 1998	
/BH/	C133	NFR Version 2.0 Getting Started Guide, undated	
/BH/	C134	NFR Version 2.0 User's Guide, undated	
/BH/	C135	NFR Version 2.0 Advanced User's Guide, undated	
/BH/	C136	NFR Version 2.0 Glossary, undated	
/BH/	C137	Haystack Labs, NetStalker for Network Systems Corporation, web page, allegedly dated 1996	
/BH/	C138	Haystack Labs, Network Systems and Haystack Labs introduce NetStalker to Track Hacker Attempts, Press Release, November 10, 1995	

Examiner /Brandon Hoffman/ Date Considered 12/17/2007

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.** *If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.*

Please type a plus sign (+) inside this box → [+]

PTO/SB/08b (08-03)
Approved for use through 06/30/2006. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

Substitute for form 1449B/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 15 | 15

Application Number	10/805,729
Filing Date	3/22/04
First Named Inventor	Porras, et al.
Group Art Unit	2131
Examiner Name	Ayaz R. Sheikh
Attorney Docket Number	SRI/3928-9
Submission Date	April 18, 2006

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No.[1]	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T[2]
/BH/	C139	C. SCHUBA, On the Modeling, Design and Implementation of Firewall Technology, Ph.D. Thesis, Purdue University, December 1997	
/BH/	C140	NFR User Guide, Version 1.1, November 1997	
/BH/	C141	NFR Version 1.0beta2 Source Code	
/BH/	C142	L. TODD HEBERLEIN, Network Security Monitor Final Report, allegedly dated February 1995	
/BH/	C143	STEVEN R. SNAPP et al., The DIDS (Distributed Intrusion Detection System) Prototype, Proc. Summer 1992 USENIX Conference, June 8-12 1992.	
/BH/	C144	RealSecure 1.2.2: User Guide and Reference Manual, September 11, 1997	
/BH/	C145	FRANK FEATHER, Fault Detection in an Ethernet Network via Anomaly Detectors, Ph.D. Thesis, Carnegie Mellon University, Order Number 9224199, 1992.	
/BH/	C146	Archived Pages from the Haystack Website	
/BH/	C147	PETER G. NEUMANN AND ALFONSO VALDES, Analysis and Response for Intrusion Detection in Large Networks, Summary for Intrusion Detection Workshop, Santa Cruz, CA, 26-28 August 1996.	

Examiner /Brandon Hoffman/ Date Considered 12/17/2007

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: **Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.** *If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.*